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32361 7590 09/28/2006

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Randi Flamenbaum (Depositor's name)  
*Randi Flamenbaum* (Signature)  
 October 4, 2006 (Date)

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/834,171	04/12/2001	Seth I. Merrin	94193.010100	2698

TITLE OF INVENTION: ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1400	\$0	\$0	\$1400	12/28/2006

EXAMINER	ART UNIT	CLASS-SUBCLASS
KYLE, CHARLES R	3624	705-037000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB/122) attached.  
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB/47; Rev 03-02 or more recent) attached. Use of a Customer Number is required.

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively,  
 (2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed.

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3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

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(A) NAME OF ASSIGNEE

Liquidnet, Inc.

(B) RESIDENCE: (CITY and STATE OR COUNTRY)

498 Seventh Avenue, 12th Floor  
 New York, New York 10018, U.S.A.

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☒ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☒ Issue Fee  
☐ Publication Fee (No small entity discount permitted)  
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4b. Payment of Fee(s): (Please first reapply any previously paid issue fee shown above)

- ☐ A check is enclosed.  
☐ Payment by credit card. Form PTO-2038 is attached.  
☒ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number 501561 (enclose an extra copy of this form).

5. Change in Entity Status (from status indicated above)

- ☐ a. Applicant claims SMALL ENTITY status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming SMALL ENTITY status. See 37 CFR 1.27(g)(2).

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Authorized Signature

*Barry J. Schindler*  
 Barry J. Schindler

Date October 4, 2006

Typed or printed name

Registration No. 32,938

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

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MET LIFE BUILDING  
200 PARK AVENUE  
NEW YORK, NY 10166

COPY

Randi Flamenbaum (Depositor's name)  
Randi Flamenbaum (Signature)  
October 4, 2006 (Date)

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New York, New York 10018, U.S.A.

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### 4a. The following fee(s) are submitted:

- ☒ Issue Fee
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- ☐ Payment by credit card. Form PTO-2038 is attached.
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Authorized Signature

Barry J. Schindler

Date October 4, 2006

Registration No. 32,938

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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<b>Applicant(s):</b> Seth I. Merrin, John Halloran, Demian Kosofsky, Kevin Lupowitz .	<b>: Group Art Unit:</b> 3624
<b>Serial No.:</b> 09/834,171	<b>: Examiner:</b> Charles R. Kyle
<b>Filed:</b> April 12, 2001	<b>: Attorney Docket No.:</b> 94193.010100
<b>For:</b> ELECTRONIC SECURITIES MARKETPLACE HAVING INTEGRATION WITH ORDER MANAGEMENT SYSTEMS	<b>:</b> <b>:</b>

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**RESPONSE TO NOTICE FOR NEW FIGURES WITH NOTICE OF  
ALLOWANCE OF 9/28/2006**

Mail Stop Issue Fees  
Commissioner for Patents  
Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

Further to a telephone conversation between Mr. Tang, reviewing draftsman on current case, and Ms. Randi Flamenbaum, my paralegal of this day, it was confirmed by Mr. Tang that the figures that were supplied to the Patent Office on May 21, 2004 are acceptable to draftsman Mr. Tang. A further copy of these figures, 8 sheets for 9 figures are attached for your ready reference.

As I understand, the Notice of Draft Person's Patent Drawing Review dated September 8, 2006 was precipitated by figures that were part of an amendment, filed on July 12, 2006, in response to a January 12, 2006 office action as well as notice to record the substance of a June 26, 2006 interview with Examiner Charles Kyle and others. During the interview, as noted on page 6, paragraph 5 of the July 12, 2006 amendment, these figures were discussed to illustrate the prior art and the claimed invention. As a result of the requirement to make the substantive matters discussed during this interview of June 26, 2006 to become part of the record of this current case, copies of these figures were provided with the amendment as filed on July 12, 2006.

Please note that the figures attached to the end of the amendment filed July 12, 2006 were part of the information that was discussed during the interview of June 26, 2006. These figures were not filed with the originally filed application.

We also respectfully request that in view of the granted petition to make special that this case be "red tagged" to expedite the issuance of the patent for this current U.S. Serial Number 09/834,171.

Respectfully submitted,  
**GREENBERG TRAURIG, LLP.**

By: 

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Barry J. Schindler

Dated: October 4, 2006

CORRESPONDENCE:

Barry J. Schindler, Esq.  
**GREENBERG TRAURIG LLP**  
Met Life Building  
200 Park Avenue, 34th Floor  
New York, New York 10166  
Phone: 212-801-2244  
Fax: 212-801-6400



1/8

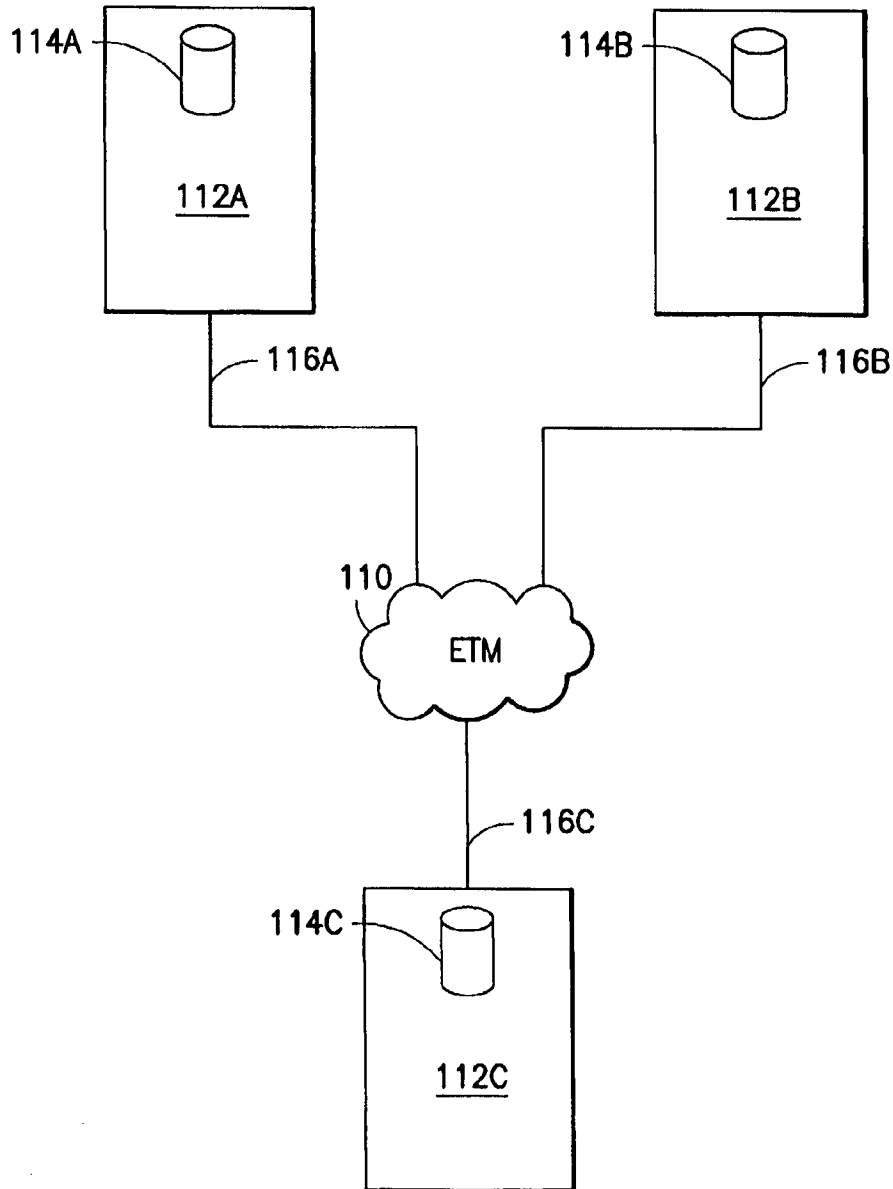


FIG. 1



2/8

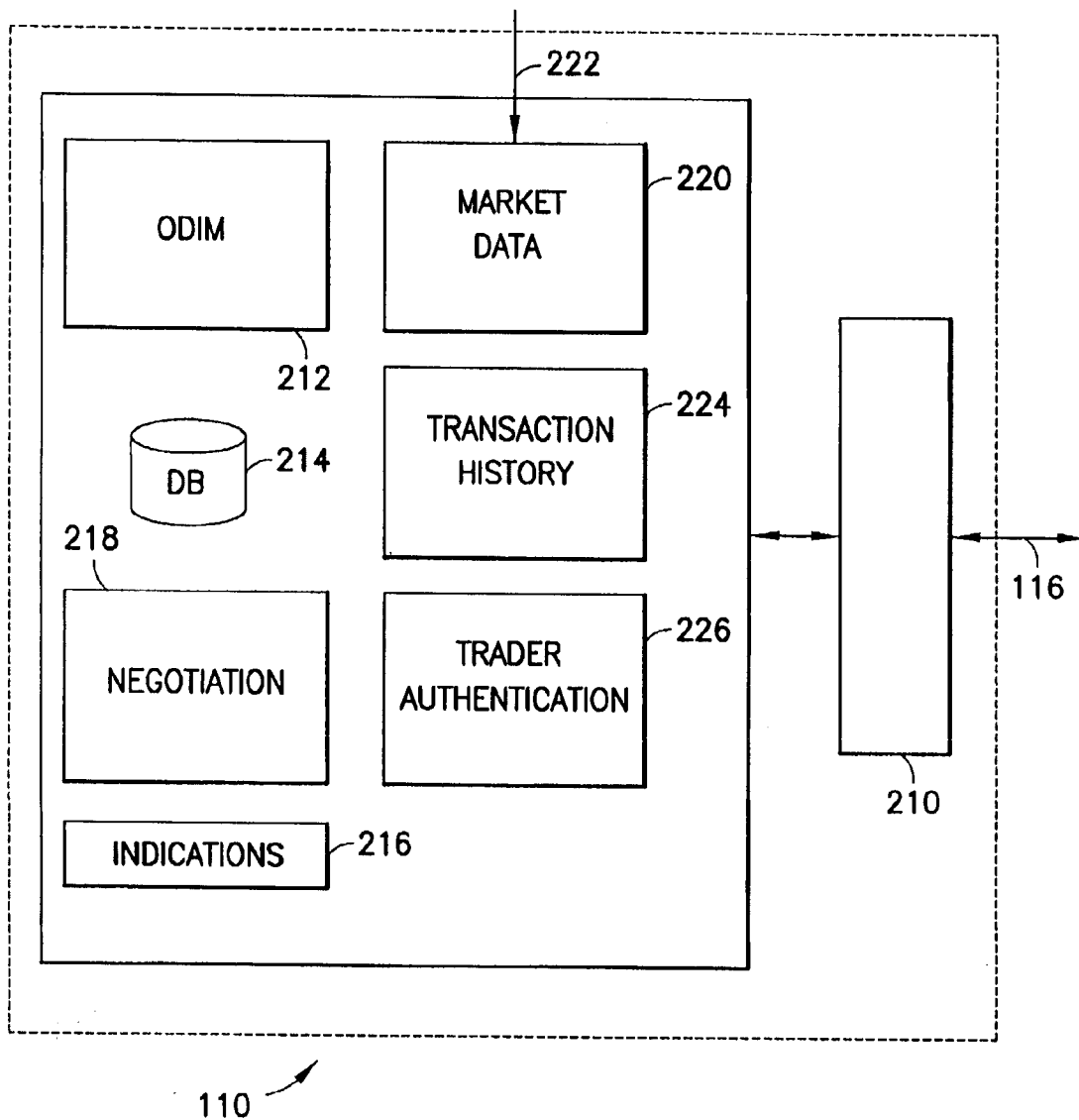


FIG. 2



3/8

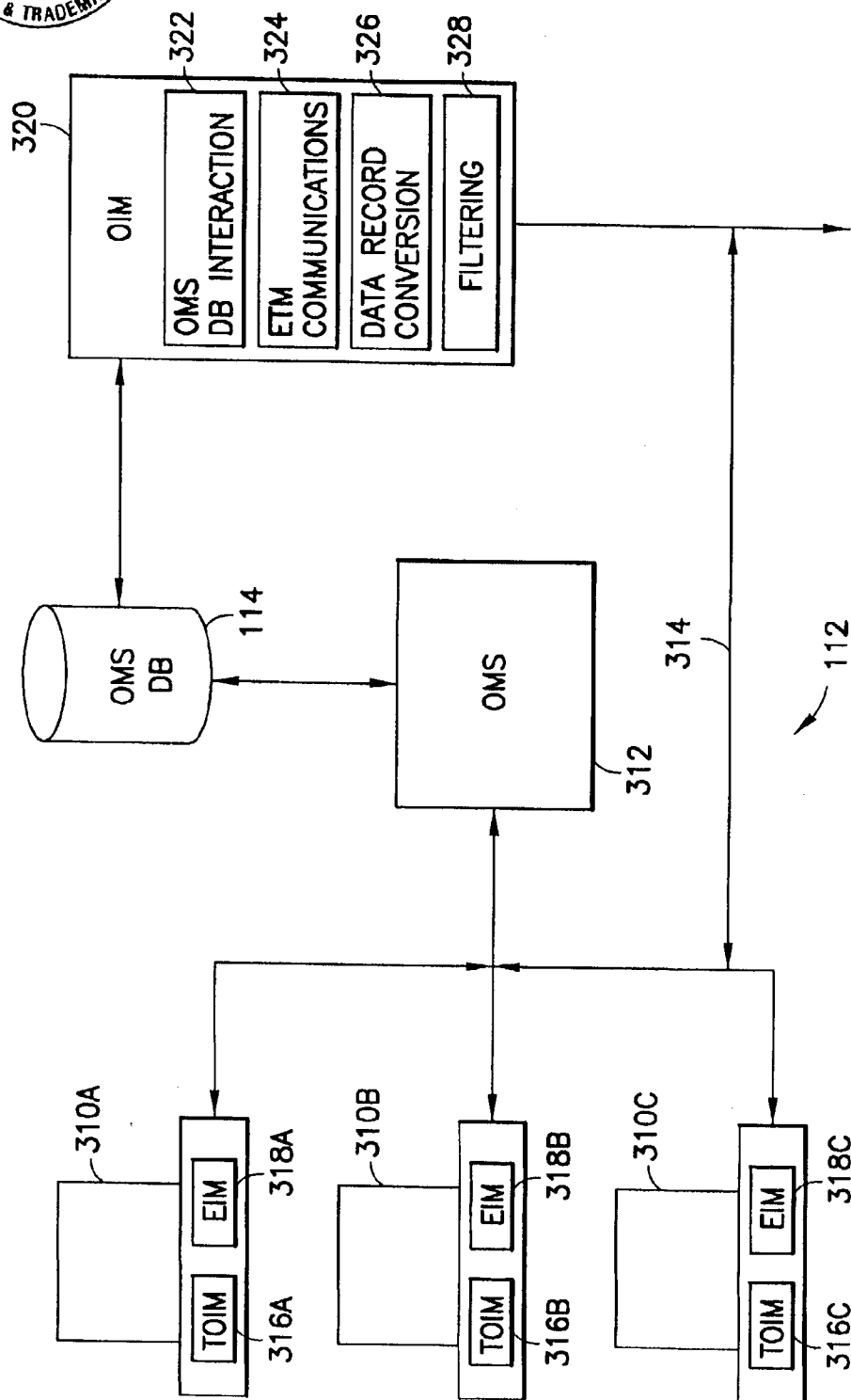


FIG.3



4/8

410	ORDER ID	412	TRADER ID	414	ORDER STATUS	416	ORDER LAST UPDATE TIME	418	TRANSACTION TYPE	420	SECURITY SYMBOL	422	SECURITY TYPE	424	ORDER TYPE	426	LIMIT PRICE	428	TOTAL ORDER SIZE	430	QUANTITY PLACED ELSEWHERE
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400

FIG.4





5/8

510	512	514
ORDER ID	BROKER	QUANTITY PLACED W/ BROKER

500

FIG.5

608	610	612	614	616	618
EXECUTION ID	ORDER ID	BROKER	QUANTITY EXECUTED	PRICE	TIMESTAMP

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FIG.6



6/8

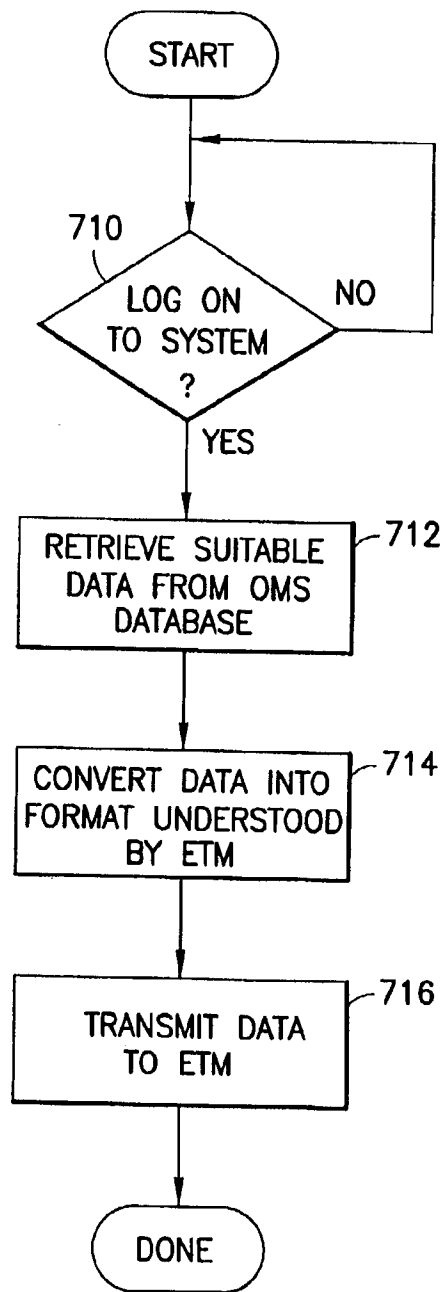


FIG.7

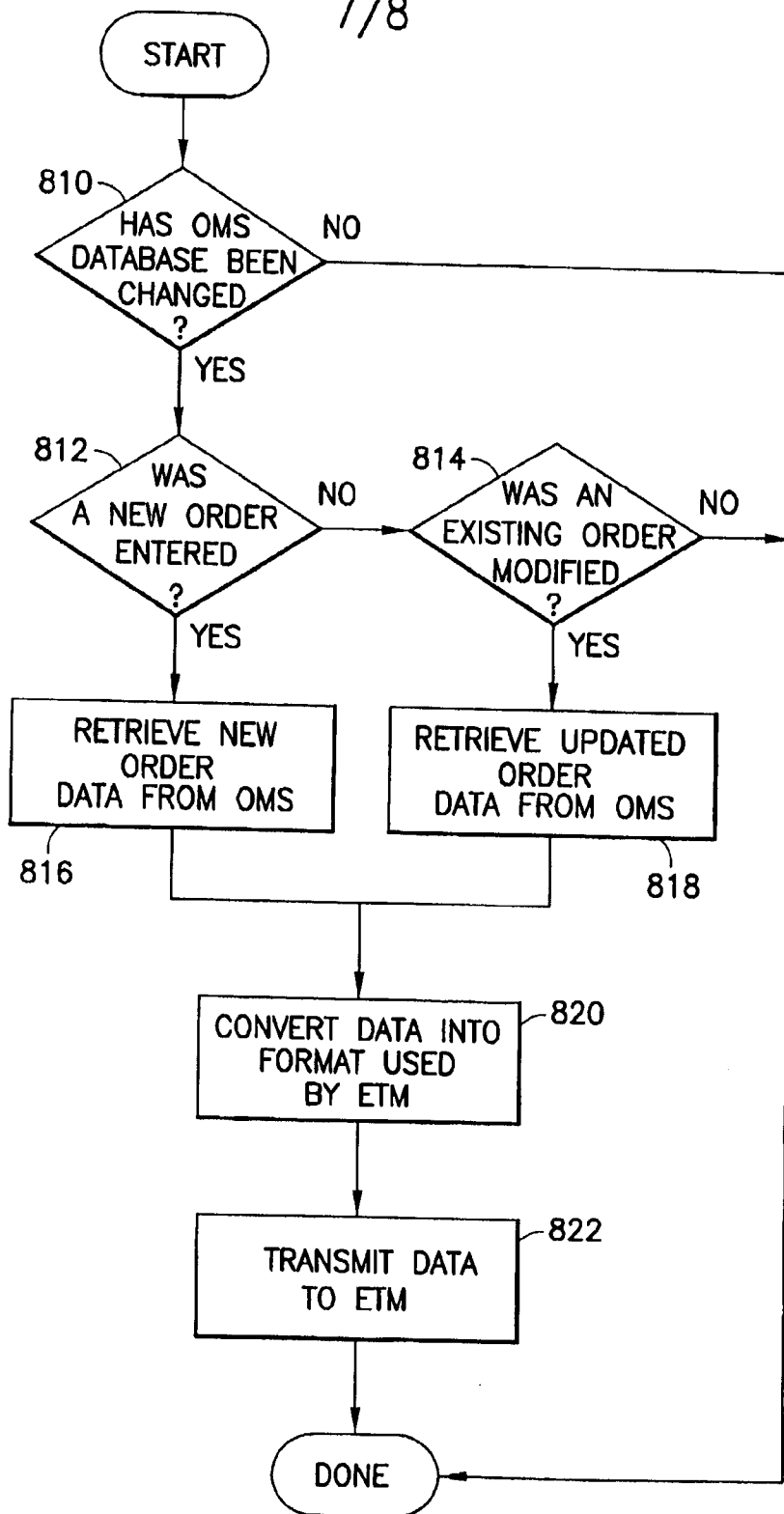


FIG.8

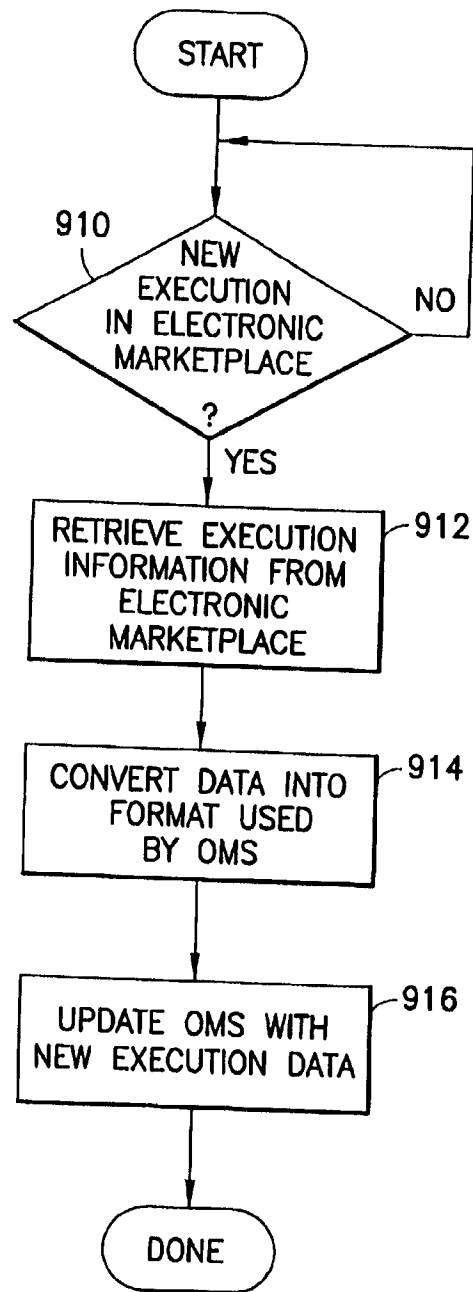


FIG.9